

DRAFT

MINISTRY OF PORTS, SHIPPING AND WATERWAYS

NOTIFICATION

New Delhi, the _____ 2026

GSR _____ (E) *In exercise of the powers conferred by second proviso to section 131, sub-section (2) and (5) of section 133, sub-section (1) and (2) of section 134, sub-section (2) of section 135, section 136, section 140, sub-section (1) of section 142, clauses (c), (d), (e), (g), (h), (i), (j), (l), (m) and (n) of sub-section (2) of section 143 under Part VII of the Merchant Shipping Act, 2025 (24 of 2025), the Central Government, hereby makes the following rules, namely:*

CHAPTER I

PRELIMINARY

1. **Short title and commencement** – (1) This Rules may be called the **Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026**.
(2) They shall come into force on Such date as may be notified by the Government of India
2. **Application and Implementation**- (1) This Rules shall apply in accordance with the provisions contained in section 131 of the Act
(2) this Rules shall not be applicable to-
 - (a) vessels not designed or constructed to carry Ballast Water;
 - (b) vessels operating in Indian waters only, and the discharge of Ballast Water from such ships would not impair or damage the environment, human health, property or resources;
 - (c) vessels, not entitled to fly the flag of India, operating in Indian waters, if exemption is granted by the Director General that the discharge of Ballast Water from such vessels would not impair or damage the environment, human health, property or resources;
 - (d) vessels operating in Indian waters and high seas only, and the discharge of Ballast Water from such ships would not impair or damage the environment, human health, property or resources;
 - (e) Permanent Ballast Water in sealed tanks on ships, that is not subject to discharge.
3. **Definitions**- (1) In this Rules, unless the context otherwise requires,—
 - (a) "Act" means the Merchant Shipping Act,2025 (NO.24 OF 2025)
 - (b) "Active Substance" means a substance or organism, including a virus or a fungus that has a general or specific action on or against Harmful Aquatic Organisms and Pathogens.

- (c) "administration" means so far as the Republic of India is concerned, means the Ministry of Ports, Shipping, and Waterways or the statutory authority under the Act; and in relation to foreign flag vessels, mean the respective Government or the designated authority appointed by such Government
- (d) "Anniversary date" means the day and the month of each year corresponding to the date of expiry of the Certificate.
- (e) "Ballast Water" means water with its suspended matter taken on board a ship to control trim, list, draught, stability or stresses of the vessel.
- (f) "Ballast Water Capacity" means the total volumetric capacity of any tanks, spaces or compartments on a vessel used for carrying, loading or discharging Ballast Water, including any multi-use tank, space or compartment designed to allow carriage of Ballast Water.
- (g) "Ballast Water Management" means mechanical, physical, chemical, and biological processes, either singularly or in combination, to remove, render harmless, or avoid the uptake or discharge of Harmful Aquatic Organisms and Pathogens within Ballast Water and Sediments.
- (h) "BWMS Code" means the Code for Approval of Ballast Water Management Systems adopted by resolution MEPC.300(72), as may be amended by the Organization, provided that such amendments are adopted and brought into force in accordance with Article 19 of the International Convention for the Control and Management of Ship's Ballast Water and Sediments 2004
- (i) "Certificate" means the International Ballast Water Management Certificate or, as the case may be, the Indian Ballast Water Management Certificate issued by Director General or organization recognized by it.
- (j) "Company" means the owner of the vessel or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the vessel from the owner of the vessel and who on assuming such responsibility has agreed to take over all the duties and responsibilities imposed by the International Safety Management Code.
- (k) "Constructed" in respect of a vessel means a stage of construction where:
 - (i) the keel is laid; or
 - (ii) construction identifiable with the specific vessel begins;
 - (iii) assembly of the vessel has commenced comprising atleast 50 tonnes or 1 percent of the estimated mass of all structural material, whichever is less; or
 - (iv) the vessel undergoes a major conversion.
- (l) "Convention" means International Convention for the Control and Management of Ship's Ballast Water and Sediments 2004,
- (m) "Gross tonnage" means the gross tonnage calculated in accordance with the tonnage measurement regulations contained in Annex I to the International Convention on Tonnage Measurement of Ships, 1969 or any successor Convention to which India is a party.
- (n) "Harmful Aquatic Organisms and Pathogens" means aquatic organisms or pathogens which, if introduced into the sea including estuaries, or into fresh

water sources, may create hazards to the environment, human health, property or resources, impair biological diversity or interfere with other legitimate uses of such areas.

- (o) "Major conversion" means a conversion of a vessel:
 - (a) which changes its ballast water carrying capacity by 15 percent or greater, or which changes the vessel type, or
 - (b) which, in the opinion of the Administration, is projected to prolong its life by ten years or more, or
 - (c) which results in modifications to its ballast water system other than component replacement-in-kind.
- (p) "Organisation" means the International Maritime Organisation
- (q) "Recognized Organization" means an organization authorized by the Director General of Shipping, and assessed to be in compliance with Part 2 of the Code for Recognized Organizations, as adopted by the Organization through Resolution MEPC.237(65), and as subsequently amended by the Organization;
- (r) "Sediments" means matter settled out of Ballast Water within a vessel.
- (s) "Vessel" includes every description of water craft used or capable of being used in the marine environment, such as ship, boat, sailing vessel, fishing vessel, submersible, semi-submersible, hydrofoils, non-displacement crafts, amphibious crafts, wing-in-ground crafts, pleasure crafts, barges, lighters, Mobile Offshore Drilling Units, Mobile Offshore Units, or of any other description, whether fitted with mechanical means of propulsion or not, but does not include fishing vessels or sailing vessels or vessels whose net tonnage is less than 15 and is engaged solely in the coasting trade of India

(2) All other terms and abbreviations, which are used in this Rules and are defined in the Act, Convention or applicable codes, shall have the meanings as defined in the Act, Convention or applicable code

4. **All ships to which this Rules apply shall be required** – (1) to carry the following documents on board from

- (a) Approved ballast water management plan containing minimum information as specified in paragraph 5 of the First Schedule
 - (b) Ballast water record book containing the requirements of paragraph 6 of the First Schedule and the minimum information as specified in Form C of Second Schedule.
 - (c) An International Ballast Water Management Certificate, as applicable in accordance with the procedures specified in regulations of Part V of the First Schedule
- (2) To carry out Ballast Water Management in accordance with paragraph 7 of the First Schedule and be fitted with a Ballast Water Management System (BWMS), meeting the performance standards as per paragraph 14 of the First Schedule, which has been type approved by an administration or a Recognised Organisation on its behalf based on the standards and test methods developed by the Orgnaisation.

(3) The implementation schedule for fitment of BWMS(paragraph 14 of the First Schedule), is as follows:

Keel laid	Implementation deadline for BWMS in order to meet paragraph 14 of the First Schedule
Before 8 September 2017	By the first renewal survey associated with the IOPP Certificate .
On or after 8 September 2017	By the completion date of the construction

5. **Exceptions** – This Rules shall not apply to those vessels which are eligible for exception under paragraph 2 of the First Schedule.
6. **Exemptions** - The Director General, at the request of vessel owner or company may grant exemption to any requirements of this rule based on provisions as specified in paragraph 3 of the First Schedule
7. **Equivalent compliance** - Equivalent compliance provisions will be as specified in paragraph 4 of the First Schedule
8. **Control of the Transfer of Harmful Aquatic Organisms and Pathogens through Ships' Ballast Water and Sediments**- (1) Every Indian vessels and other vessels which are not entitled to fly the Indian flag but which operate under the authority of Government of India, shall comply with the requirements set forth in First Schedule including the applicable standards and requirements as prescribed from time to time as well as effective measures to ensure that such ships comply with the requirements, as may be specified by the Director General from time to time.
(2) All other vessels to which this Rules apply, shall comply with such ballast water management programme as may be prescribed in the First Schedule .
9. **Sediment Reception Facilities** – (1) All ports in India, calling vessels to which this Rules apply, should provide facilities for sediment reception as per the guidelines to the Convention, under the surveillance, supervision, guidance and instructions of that port authority.
(2) Where there are no sediment reception facilities at any port in India or that the facilities available at such port are not adequate for enabling vessels calling at such port to comply with the requirements of the Convention, then, the port authority in charge of such port shall provide or arrange for the provision of such sediment reception facilities in a time bound manner.
(3) The Director-General may, by notification in the Official Gazette, specify the ports in India having sediment reception facilities in accordance with the requirements of the Convention
(4) A port authority providing sediment reception facilities or a person providing such facilities by arrangement with the port authority, may charge for the use of those facilities at such rates and may impose such conditions in respect of the use thereof as the Director-General may, by notification in the Official Gazette, specify in this

behalf.

CHAPTER II

CERTIFICATION

10. Application – The owner, master or the person having the authority of a vessel to which this Rules apply, shall, submit an application along with receipt of payment of such fee, before the Director General for the issuance of an International Ballast Water Management Certificate or an Indian Ballast Water Management Certificate, as the case may be, in the prescribed form as may be notified by the Director General

11. Issue or endorsement of an Indian Ballast Water Management Certificate – The Director-General or the recognized organisation upon receipt of an application under Rule 10, shall, after the successful completion of a survey in accordance with rule 15, issue or endorse the certificate considering requirements of Part V of the First Schedule to a vessel to which the provisions of the Convention does not apply.

12. Issue or Endorsement of an International Ballast Water Management Certificate - (1) The Director-General or Recognised organisation shall, to an Indian vessel, issue or endorse the International Ballast Water Management Certificate after successful completion of survey and satisfaction to compliance with provisions of this Rules, considering paragraph 19 of the First Schedule to an Indian vessel.

(2) The Director General may, to a vessel other than Indian vessel, at the request of the administration of such vessel, issue or endorse the International Ballast Water Management Certificate after successful completion of survey and satisfaction to compliance with provisions of this Rules or Convention considering paragraph 19 of the First Schedule,

13. Validity of an International Ballast Water Management Certificate or Indian Ballast Water Management Certificate – (1) The International Ballast Water Management Certificate or the Indian Ballast Water Management Certificate, as the case may be, shall be valid for a period of as may be specified by the Director General and in any case, the period shall not such period as may be specified in accordance with the provisions contained in First Schedule.

(2) The International Ballast Water Management Certificate or the Indian Ballast Water Management Certificate, issued under this Rules shall cease to be valid in the following cases, namely:-

- (a) if the Ballast Water Management plan is changed or replaced and the certificate is not endorsed in accordance with the provisions of this Rules; and
- (b) up on transfer of the vessel to the flag of another State.

(3) The issue of a new certificate to a vessel transferred from another flag shall be based on a valid certificate issued by the previous flag

14. Renewal of International Ballast Water Management Certificate or Indian Ballast Water Management Certificate - The owner, master or the person having the authority of the vessel to which a certificate under Rule 11 or Rule 12(1) has been issued, shall renew the certificate in accordance with the provisions contained in paragraph 21 of the First Schedule

15. Inspection of Vessels – (1) A vessel to which the Convention applies may, in any port or offshore terminal within the jurisdiction of Government of India, be subject to inspection in accordance with the provisions contained either in this Rules for determining whether the vessel is in compliance with this rule.

- (2) Except as provided in sub rule (3), any inspection under sub rule (1) is limited to:
 - (a) verifying that there is onboard a valid Certificate, which, if valid shall be accepted; and
 - (b) inspection of the Ballast Water record book, and/or
 - (c) a sampling of the vessel's Ballast Water, carried out in accordance with the guidelines developed by the IMO. However, the time required to analyse the samples shall not be used as a basis for unduly delaying the operation, movement or departure of the vessel.
- (3) Where a vessel does not carry a valid Certificate or there are clear grounds for believing that:
 - (a) the condition of the vessel or its equipment does not correspond substantially with the particulars of the Certificate; or
 - (b) the master or the crew are not familiar with essential vessel board procedures relating to Ballast Water Management, or have not implemented such procedures;
 - (c) a detailed inspection may be carried out.
- (4) If, on report from the surveyor or other person authorized to inspect a vessel, the Director General is satisfied that any provision of the Convention has not been complied with or contravened by such vessel within the coastal waters, the Director General or any officer authorized by him in that behalf, may-
 - (a) detain the vessel until the causes of such non –compliance or contravention are removed to the satisfaction of the Director General or the officer authorized by him; and

Provided that where the Director General deems it necessary, he may request the Indian Navy or the Coast Guard for preventing the vessel from proceeding to sea, and the Indian Navy or the Coast Guard, as the case may be, shall take action as requested by the Director-General.

- (b) On receipt of information from the Government of any country to which the Convention applies that an Indian vessel or other vessel has contravened any provision of the Convention, the Central Government may, if it deems fit necessary, request such Government to furnish further details of the alleged contravention and if satisfied that sufficient evidence is available, conduct investigation of the alleged violations and take appropriate measures in respect thereof.

16. Detection of Violations and Control of Ships – (1) Any foreign vessel to which the Convention applies and operating within the jurisdiction of Government of India, if detected to have violated the provisions of this Rule, Director General may take steps to warn, detain, or exclude the vessel and may also grant such a vessel permission to leave the port or offshore terminal for the purpose of discharging Ballast Water or proceeding to the nearest appropriate repair yard or reception facility available, subject to doing so does not present a threat of harm to the environment, human health, property or resources.

- (2) If the results of the sampling described in rule 15(2) (c) indicates that the vessel poses a threat to the environment, human health, property or resources, then such vessel shall be prohibited from discharging Ballast Water until the removal of threat identified in sampling report.
- (3) The surveyors authorized by the Director General may also inspect a vessel when operating within the ports or offshore terminals under jurisdiction of government of India, if a request for an investigation is received from any member which is party to Convention.
- (4) The report of such investigation shall be sent to the Party requesting it and to the Administration of the vessel concerned so that appropriate action may be taken.

17. Procedure for maintenance of ballast water record book – (1) Ship to which this rule applies shall maintain, onboard a record of ballast water operations, containing the requirements of paragraph 6 of the First Schedule and the minimum information as specified in Form C of Second Schedule .

- (2) Such record can be an electronic record system, taking into account the guidelines developed by the Organisation, or that may be integrated into another record book or system and shall be made readily available for inspection for period as specified.

Explanation – for the purpose of this provision, the guidelines developed by the Organisation, means the guidelines for the Electronic Record Books under the BWM Convention (resolution MEPC. 372(80) as may be amended from time to time

CHAPTER III **MISCELLANEOUS**

18. Fees - The fees which may be levied for survey, inspection and certification under this Rules shall be as specified in the Third Schedule.

19. Penalty- Whoever contravenes any provisions of this Rules shall be punished in accordance with the provisions contained under Section 281 of the Act.

FIRST SCHEDULE

REGULATIONS FOR THE CONTROL AND MANAGEMENT OF SHIPS' BALLAST WATER AND SEDIMENTS

PART I - General Provisions

1. **General Applicability** - Except where expressly provided otherwise, the discharge of Ballast Water shall only be conducted through Ballast Water Management in accordance with the provisions of this Schedule.
2. **Exceptions** - The requirements of paragraph 7 of this Schedule, or any measures adopted by Government of India pursuant to Article 2.3 of the Convention and Part III of this Schedule, shall not apply to:
 - (1) the uptake or discharge of Ballast Water and Sediments necessary for the purpose of ensuring the safety of a vessel in emergency situations or saving life at sea; or
 - (2) the accidental discharge or ingress of Ballast Water and Sediments resulting from damage to a vessel or its equipment:
 - (a) provided that all reasonable precautions have been taken before and after the occurrence of the damage or discovery of the damage or discharge for the purpose of preventing or minimizing the discharge; and
 - (b) unless the owner, Company or officer in charge willfully or recklessly caused damage; or
 - (3) The uptake and discharge of Ballast Water and Sediments when being used for the purpose of avoiding or minimizing pollution incidents from the vessel; or
 - (4) The uptake and subsequent discharge on the high seas of the same Ballast Water and Sediments; or
 - (5) The discharge of Ballast Water and Sediments from a vessel at the same location where the whole of that Ballast Water and those Sediments originated and provided that no mixing with unmanaged Ballast Water and Sediments from other areas has occurred. If mixing has occurred, the Ballast Water taken from other areas is subject to Ballast Water Management in accordance with this rule.
3. **Exemptions** – (1) The Director General may grant exemptions to any requirements to apply paragraph 7 of the First Schedule or 11 of this Schedule, in addition to those exemptions contained elsewhere in this rule, but only when they are:
 - (a) granted to a vessel or vessels on a voyage or voyages between specified ports or locations; or to a vessel which operates exclusively between specified ports or locations;
 - (b) effective for a period of no more than five years subject to intermediate review;
 - (c) granted to vessels that do not mix Ballast Water or Sediments other than between the ports or locations specified in clause (1) of this sub paragraph; and

- (d) granted based on the Guidelines on risk assessment developed by the Organisation.
- (2) Exemptions granted pursuant to sub paragraph (1) shall not be effective until after communication to the Organization and circulation of relevant information to the Parties.
- (3) Any exemptions granted under this paragraph shall not impair or damage the environment, human health, property or resources of adjacent or other country.
- (4) Any exemptions granted under this paragraph shall be recorded in the Ballast Water record book.

4. Equivalent compliance - Equivalent compliance with this Schedule for pleasure craft used solely for recreation or competition or craft used primarily for search and rescue, less than 50 meters in length overall, and with a maximum Ballast Water capacity of 8 cubic meters shall be determined by the Director General taking into account the guidelines developed by the Organisation

PART II - MANAGEMENT AND CONTROL REQUIREMENTS FOR VESSELS

- 5. ballast water management plan** - (1) Each vessel shall have on board and implement a Ballast Water Management plan.
 - (2) The Ballast water Management plan under sub paragraph (1) shall be approved by the Director- General or Recognised Organisation, taking into account Guidelines developed by the Organization
 - (3) The Ballast Water Management plan shall be specific to the vessel and shall contain the following particulars, such as:
 - (a) Detailed safety procedures for the vessel and the crew associated with Ballast Water Management as required by this Rules;
 - (b) Detailed description of the actions to be taken to implement the Ballast Water Management requirements and supplemental Ballast Water Management practices as set forth in this Rules;
 - (c) detail the procedures for the disposal of Sediments at sea and to shore
 - (4) The procedures for coordinating shipboard Ballast Water Management that involves discharge to the sea with the authorities of the State in to whose waters such discharge will take place;
 - (5) Designated officer onboard in charge of ensuring that the plan is properly implemented;
 - (6) Procedure for reporting requirements for vessels provided for under this Rules and the Convention.
- 6. Ballast water record book** – (1) Each vessel shall have onboard a Ballast Water record book that may be an electronic record system, or that may be integrated into

another record book or system and, which shall at least contain the information specified in Second Schedule.

- (2) Ballast Water record book entries shall be maintained onboard the vessel for a minimum period of two years after the last entry has been made and thereafter in the Company's control for a minimum period of three years.
- (3) In the event of the discharge of Ballast Water pursuant to **paragraphs 2,3 or 7(3) of this Schedule** or in the event of other accidental or exceptional discharge of Ballast Water not otherwise exempted by this Rules, an entry shall be made in the Ballast Water record book describing the circumstances of, and the reason for, the discharge.
- (4) The Ballast Water record book shall be kept readily available for inspection at all reasonable times and, in the case of an unmanned vessel under tow, may be kept on the towing vessel.
- (5) Each operation concerning Ballast Water shall be fully recorded without delay in the Ballast Water record book and each entry shall be signed by the officer in charge of the operation concerned and each completed page shall be signed by the master.
- (6) The entries in the Ballast Water record book shall be in a working language of the ship and if that language is not English the entries shall contain a translation into English language.
- (7) When entries in an official national language of the State whose flag the ship is entitled to fly are also used, these shall prevail in case of a dispute or discrepancy
- (8) The Director General or the Recognised Organisation may authorize surveyors appointed under the Act for the purpose of inspecting the Ballast Water Record Book on board any vessel to which this Rules apply while the vessel is in its port or offshore terminal.
- (9) The surveyors authorized under sub paragraph (8) may make a copy of any entry of the Ballast Water Record Book and require the master to certify that the copy is a true copy
- (10) Any copy so certified shall be admissible in any judicial proceeding as evidence of the facts stated in the entry.

7. Ballast Water Management for vessels - (1) A vessel constructed before 2009 shall conduct Ballast Water Management that at least meet the standards described in paragraph 13 or paragraph 14 of this Schedule until the renewal survey described in sub paragraph 10, after which time it shall at least meet the standard described in paragraph 13 of this Schedule

- (2) A vessel constructed in or after 2009 with a Ballast Water Capacity of less than 5,000 cubic metres shall conduct Ballast Water Management that at least

meets the standards described in paragraph 14 of this Schedule, from the date of the renewal survey described in paragraph 10.

- (3) A vessel constructed in or after 2009, but before 2012, with a Ballast Water Capacity of 5,000 cubic metres or more shall conduct Ballast Water Management in accordance with sub paragraph (1)
- (4) A vessel constructed in or after 2012 with a Ballast Water Capacity of 5000 cubic metres or more shall conduct Ballast Water Management that at least meets the standard described in paragraph 14 of this Schedule, from the date of the renewal survey described in paragraph 10.
- (5) A ship constructed on or after 8 September 2017 shall conduct ballast water management that at least meets the standard described in paragraph 14 of this Schedule.
- (6) The requirements of this paragraph do not apply to vessels that discharge Ballast Water to a reception facility designed taking into account the Guidelines developed by the IMO for such facilities.
- (7) Other methods of Ballast Water Management may also be accepted as alternatives to the requirements described in sub paragraphs 1 to 5 and 8, provided that such methods ensure at least the same level of protection to the environment, human health, property or resources, and are approved in principle by the MEPC.
- (8) A vessel, constructed before the commencement of this Rules, to which the renewal survey described in sub paragraph 10 does not apply, shall conduct ballast water management that at least meets the standard described in paragraph 14 of this Schedule
- (9) A ship subject to sub paragraph 2, 4 or 8 will be required to comply with either paragraph 13 of this Schedule or paragraph 14 of this Schedule, until such time as it is required to comply with paragraph 14 of this Schedule
- (10) Notwithstanding anything contained in paragraph 17(1)(b) of this Schedule, the renewal survey referred to in sub paragraphs 1,2 and 4 of this paragraph is the first renewal survey if this survey is completed prior to the commencement of this Rules or a renewal survey is completed within three years from the date of commencement of this Rules

8. Ballast Water Exchange- (1) A vessel conducting Ballast Water exchange to meet the standard in paragraph 13 of this Schedule shall:

- (a) whenever possible, conduct such Ballast Water exchange at least 200 nautical miles from the nearest land and in water at least 200 metres in depth, taking into account the Guidelines developed by the Organisation;
- (b) in cases where the vessel is unable to conduct Ballast Water exchange in accordance with clause (a) of sub paragraph (1), such Ballast Water exchange shall be conducted taking into account the Guidelines described therein and as far from the

nearest land as possible, and in all cases at least 50 nautical miles from the nearest land and in water at least 200 metres in depth.

- (2) In sea areas where the distance from the nearest land or the depth does not meet the parameters described in sub paragraph 1, the Director General may designate areas, in consultation with adjacent to other countries, as appropriate, where a vessel may conduct Ballast Water exchange, taking into account the Guidelines described in sub paragraph (1).
- (3) A vessel shall not be required to deviate from its intended voyage, or delay the voyage, in order to comply with any particular requirement of sub paragraph (1).
- (4) A vessel conducting Ballast Water exchange shall not be required to comply with sub paragraphs (1) or (2), as appropriate, if the master reasonably decides that such exchange would threaten the safety or stability of the vessel, its crew, or its passengers because of adverse weather, vessel design or stress, equipment failure, or any other extraordinary condition.
- (5) When a vessel is required to conduct Ballast Water exchange and does not do so in accordance with this paragraph, the reasons shall be entered in the Ballast Water record book.

9. Sediment Management for vessels – (1) All vessels shall remove and dispose of Sediments from spaces designated to carry Ballast Water in accordance with the provisions of the vessel's Ballast Water Management plan.

- (2) Ships described in paragraphs 7(3) to 7(5) of this Schedule should, without compromising safety or operational efficiency, be designed and constructed with a view to minimize the uptake and undesirable entrapment of Sediments, facilitate removal of Sediments, and provide safe access to allow for Sediment removal and sampling, taking into account guidelines developed by the Organisation.
- (3) Ships described in paragraph 7(1) of this Schedule should, to the extent practicable, comply with this paragraph.

10. Duties of Officers and Crew - Officers and crew shall be familiar with their duties in the implementation of Ballast Water Management particular to the vessel on which they serve and shall, appropriate to their duties, be familiar with the vessel's Ballast Water Management plan.

Part III- SPECIAL REQUIREMENTS IN CERTAIN AREAS

11. Additional Measures – (1) Government of India, individually or jointly with other countries which are party to the Convention, if determines that measures in addition to those in Part II of this Schedule are necessary to prevent, reduce, or eliminate the transfer of Harmful Aquatic Organisms and Pathogens through vessels' Ballast Water and Sediments, may specify additional standards or requirements, consistent with international law,

- (2) Prior to establishing standards or requirements under sub paragraph 1, the Director- General shall consult with adjacent or other States that may be affected by such standards or requirements and shall follow the procedure laid down under sub paragraph (3) and (4)
- (3) The Government of India, implementing additional measures in accordance with sub paragraph (1) may:
- (a) Take into account the guidelines developed by the Organisation
 - (b) Communicate the intention to establish additional measures to the Organisation 6 months, except in emergency or epidemic situations, prior to the projected date of implementation of measures. Such communication shall include
 - (i) The precise co-ordinates where the additional measures are applicable
 - (ii) The need and reasoning for the application of the additional measures, including. Whenever possible, benefits
 - (iii) A description of the additional measures; and
 - (iv) Any arrangements that may be provided to facilitate ships' compliance with the additional measures
 - (c) To the extent required by customary international laws reflected in the United Nations Convention on the Law of the Sea, as appropriate, obtain the approval of the Organisation
- (4) The Director General. While implementing such additional measures, shall endeavour to make available all appropriate services, which may include but are not limited to notification to mariners of areas, available and alternative routes or ports, as far as practicable, in order to ease the burden on the ship
- (5) The additional measures adopted by the Government of India shall not compromise the safety and security of the ship and not in conflict with any other international instruments to which India is a party.
- (6) The Government of India may, for a specific period of time or in specific circumstances, temporarily waive the additional measures taken under sub paragraph (1)

12. Warnings Concerning Ballast Water Uptake in Certain Areas and Related Flag State Measures – (1) Director General or Recognised Organisation, shall notify mariners of areas under its jurisdiction where vessels should not uptake Ballast Water due to known conditions. Warnings may be issued for areas:

- (a) Known to contain out breaks, infestations, or populations of Harmful Aquatic Organisms and Pathogens (e.g., toxic algalblooms) which are likely to be of relevance to Ballast Water uptake or discharge;
- (b) near sewage outfalls; or

- (c) Where tidal flushing is poor or times during which a tidal stream is known to be more turbid.
- (2) The Director General shall notify the Organisation and any potentially affected coastal states of any area identified in sub paragraph (1) and the time period for which such warning is likely to be in effect.
- (3) The notice to the Organization and any potentially affected coastal States under sub paragraph (2) shall include the precise coordinates of the area or areas, and, where possible, the location of any alternative area or areas for the uptake of Ballast Water.
- (4) The notice under sub paragraph (3) shall include advice to ships needing to uptake Ballast Water in the area, describing arrangements made for alternative supplies.
- (5) The Director General shall also notify mariners, the Organization, and any potentially affected coastal States when a given warning is no longer applicable.

Part IV- STANDARDS FOR BALLAST WATER MANAGEMENT

13. Ballast Water Exchange Standard – (1) Vessel performing Ballast Water exchange in accordance with this paragraph shall do so with an efficiency of at least 95 percent volumetric exchange of Ballast Water.

- (2) For vessels exchanging Ballast Water by the pumping-through method, pumping through three times the volume of each Ballast Water tank shall be considered to meet the standard described in sub paragraph (1) .
- (3) Pumping through less than three times the volume may be accepted provided the vessel can demonstrate that at least 95percent volumetric exchange is met.

14. Ballast Water Performance Standard- (1) vessels conducting Ballast Water Management in accordance with this paragraph shall discharge less than 10 viable organisms per cubic metre greater than or equal to 50 micrometres in minimum dimension and less than10 viable organisms per milliliter less than 50 micrometres in minimum dimension and greater than or equal to 10 micrometres in minimum dimension; and discharge of the indicator microbes shall not exceed the specified concentrations described in sub paragraph (2).

- (2) Indicator microbes, as a human health standard, shall include:
 - (a) Toxicogenic Vibrio cholerae (O1 and O139) with less than 1 colony forming unit (cfu) per 100 millilitres or less than1cfu per1 gram (wet weight) zooplankton samples ;
 - (b) Escherichia coli less than250 cfu per 100 millilitres;
 - (c) Intestinal Enterococci less than 100 cfu per 100 milliliters.

15. Approval requirements for Ballast Water Management systems- (1) Except as specified in sub paragraph (2), Ballast Water Management systems used to comply with

this Rules shall be approved by the Director General or a Recognised Organisation, as follows

- (a) ballast water management systems installed on or after 28 October 2020 shall be approved in accordance with the BWMS Code, as may be amended; and
 - (b) ballast water management systems installed before 28 October 2020 shall be approved taking into account the guidelines developed by the Organisation or the BWMS Code, as may be amended
- (2) Ballast Water Management systems which make use of Active Substances or preparations containing one or more Active Substances to comply with this Rules shall be approved by the Director General, based on a procedure developed by the Director General.
- (3) The procedure developed by the Director General under sub paragraph (2) shall describe the manner of approval and withdrawal of approval of Active Substances and their proposed manner of application.
- (4) In the case of withdrawal of approval, the use of the relevant Active Substance or Substances shall be prohibited within 1 year after the date of such withdrawal.
- (5) Ballast Water Management systems used to comply with this Rules must be safe in terms of the vessel, its equipment and the crew.

16. Prototype Ballast Water Treatment Technologies – (1) For any vessel that, prior to the date that the standard in paragraph 14 of this Schedule would otherwise become effective for it, participates in a programme approved by the Director General, to test and evaluate promising Ballast Water treatment technologies, the standard in paragraph 14 of this Schedule shall not apply to that vessel until five years from the date on which the vessel would otherwise be required to comply with such standard.

- (2) For any vessel that, after the date on which the standard in paragraph 14 of this Schedule has become effective for it, participates in a programme approved by the Director General, taking into account Guidelines developed by the Organisation, to test and evaluate promising Ballast Water technologies with the potential to result in treatment technologies achieving a standard higher than that in paragraph 14 of this Schedule, the standard in paragraph 14 of this Schedule shall cease to apply to that vessel for five years from the date of installation of such technology.
- (3) Throughout the test and evaluation period, the treatment system must be operated consistently and as designed.

PART V- SURVEY AND CERTIFICATION REQUIREMENTS FOR BALLAST WATER MANAGEMENT

17. Surveys – (1) Ships of 400 gross tonnage and above, to which this regulation applies, and engaged in international voyages or plying along the coast of India, excluding floating platforms, FSUs and FPSOs, shall be subject to surveys as specified below in accordance with the provisions contained in the Merchant Shipping (Survey, Audit and Certification) Rules 2026:

- (a) An initial survey before the ship is put in service or before the Certificate required under paragraph 18 or 19 is issued for the first time. This survey shall verify that the ballast water management plan required by paragraph 5 and any associated structure, equipment, systems, fitting, arrangements and material or processes comply fully with the requirements of this Rules.
 - (b) The survey under clause (a) of sub paragraph (1) survey shall confirm that a commissioning test has been conducted to validate the installation of any ballast water management system by demonstrating that its mechanical, physical, chemical and biological processes are working properly, and may take into account the guidelines developed by the Organization
 - (c) an additional survey either general or partial, after a change, replacement, or significant repair of the structure, equipment, systems, fittings, arrangements and material necessary to achieve full compliance with this Rules and accordingly there is change or replacement in the ballast water management plan and such change or replacement has been endorsed on the International Ballast Water Management Certificate or, as the case may be, the Indian Ballast Water Management Certificate;
 - (d) a renewal survey at intervals not exceeding five years;
 - (e) an intermediate survey within three months before or after the second anniversary date or within three months before or after the third anniversary date of the Certificate, which shall take the place of one of the annual surveys; and
 - (f) an annual survey within three months before or after each anniversary date, including a general inspection of the structure, any equipment, systems, fittings, arrangements and material or processes associated with the Ballast Water Management plan to ensure that they have been maintained to remain fit in all respects to proceed to sea without presenting a threat of harm to the environment, human health, property or resources and remain satisfactory for the service for which the vessel is intended.
- (2) The surveys referred to in sub-paragraph (1) shall be such as to ensure that the vessel's ballast water management plan is in accordance with and fully complies with the provisions of this Rules.
- (3) The Director General shall, by notification, issue appropriate measures for ships that are not subject to the provisions of sub paragraph (1) in order to ensure that the applicable provisions of this Rules are complied with
- (4) When the Director General or a recognized organization determines that the vessel's Ballast water management plan does not confirm either to the particulars of the International Ballast Water Management Certificate, or the Indian Ballast Water Management Certificate, or to the provisions of the Act or this Rules, the surveyor or the recognized organization shall immediately ensure that corrective action is taken to bring the vessel into compliance, and the surveyor or the recognized organization shall notify the Director General of any such determination.

- (5) If the corrective action referred to in Sub paragraph (4) is not complied with, the Director General shall be informed in writing by the surveyor or the recognized organization forthwith and the International Ballast Water Management Certificate or the Indian Ballast Water Management Certificate shall not be issued or if already issued, the respective certificate shall, by order, be withdrawn by the Director General.
- (6) Upon compliance of corrective measures as suggested under sub paragraph (3) an additional survey, shall be undertaken in accordance with clause (c) of sub paragraph (3).
- (7) When an additional survey under sub paragraph (6) is undertaken for the installation of any ballast water management system, the said survey shall confirm that a commissioning test has been conducted to validate the installation of the system by demonstrating that its mechanical, physical, chemical and biological processes are working property and may take into account the guidelines developed by the Organization.
- (8) Upon compliance of corrective measures as suggested under sub paragraph (3) an additional survey, either general or partial, according to the circumstances, shall be made after a change, replacement, or significant repair of the structure, equipment, systems, fittings, arrangements and material necessary to achieve full compliance with this Convention.
- (9) When an additional survey under sub paragraph (6) is undertaken for the installation of any ballast water management system, the said survey shall confirm that a commissioning test has been conducted to validate the installation of the system by demonstrating that its mechanical, physical, chemical and biological processes are working property and may take into account the guidelines developed by the Organization.
- (10) Whenever an accident occurs to a ship or a defect is discovered which substantially affects the ability of the ship to conduct Ballast Water Management in accordance with this Rules, the owner, operator or other person in charge of the ship shall report at the earliest opportunity to the Director General or the Recognised Organisation, who shall cause investigations to be initiated to determine whether a survey as required by sub paragraph (1) is necessary
- (11) In a situation specified in clause(c) of sub paragraph (3), if the vessel is in the port of another Party, the appropriate authorities of the port State and Director General shall be informed forthwith in writing by the surveyor or recognized organization.
- (12) After any survey of the ship under this paragraph has been completed, no change shall be made in the structure, any equipment, fittings, arrangements or material associated with the Ballast Water Management plan required by paragraph 5 of this Schedule and covered by the survey without the sanction of the Administration, except the direct replacement of such equipment or fittings.

18. Issue or endorsement of an International Ballast Water Management

Certificate or Indian Ballast Water Management Certificate- (1) The Director General or a recognized organization shall require, after the successful completion of a survey in accordance with this Part, to issue or endorse:

- (a) International Ballast Water Management Certificate to an Indian vessel or other vessels entitled to fly Indian flag or operating under its authority, which is of 400 gross tonnage and above and engaged in International voyage; and
- (b) Indian Ballast Water Management Certificate to an Indian vessel entitled to fly Indian flag, which are of 400 gross tonnage and above, with appropriate conditions as applicable for each type of vessels and not engaged in international voyage and are required to be registered under the Act, as the case may be.

19. Issue or Endorsement of an International Ballast Water Management Certificate by Director General or another country which is party to Convention- (1) At the

request of the Administration, the Government of a country to which the Convention applies or vice versa, may cause a vessel to be surveyed and, if satisfied, shall issue or authorize the issue of the International Ballast Water Management Certificate to the vessel and, where appropriate, endorse or authorize the endorsement of the International Ballast Water Management Certificate for the vessel in accordance with the Convention.

- (2) Upon complying with sub paragraph (1), a copy of the Certificate and a copy of the survey report shall be transmitted as soon as possible to the Administration, or to the Government of another country which is party to the Convention, as the case may be.

- (3) The certificate so issued shall contain a statement that it has been issued at the request, of the Administration, or of the Government of another country which is party to the Convention, as the case may be.

20. **Form of the Certificate** - The Certificate and record shall be drawn up in the form corresponding to the model given in, the Second Schedule appended to this Rules.

21. **Duration and Validity of the Certificate** – (1) An International Ballast Water Management Certificate or an Indian Ballast Water Management Certificate may be issued by the Director General or organization recognized by it, for a period not exceeding five years.

(2) For renewal surveys:

- (a) Notwithstanding the requirements of sub paragraph (1), when the renewal survey is completed within three months before the expiry date of the existing Certificate, the new Certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of expiry of the existing Certificate.

- (b) When the renewal survey is completed after the expiry date of the existing Certificate, the new Certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of expiry of the existing Certificate.

- (c) When the renewal survey is completed more than three months before the expiry date of the existing Certificate, the new Certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of completion of the renewal survey.
- (3) If a Certificate is issued for a period of less than five years, the Director General or recognized Organisation by it may extend the validity of the Certificate beyond the expiry date to the maximum period specified in sub paragraph(1), provided that the surveys referred to in **paragraph 17(1)(d) of this Schedule** applicable when a Certificate is issued for a period of five years are carried out as appropriate.
- (4) If a renewal survey has been completed and a new Certificate cannot be issued or placed onboard the vessel before the expiry date of the existing Certificate, the surveyor authorized by the Director General may endorse the existing Certificate and such a Certificate shall be accepted as valid for a further period which shall not exceed five months from the expiry date.
- (5) If a vessel at the time when the Certificate expires is not in a port in which it is to be surveyed, the Director General or the recognized Organisation, may extend the period of validity of the Certificate, but this extension shall be granted only for the purpose of allowing the vessel to complete its voyage to the port in which it is to be surveyed,
- (6) No Certificate issued under sub paragraph (5) shall be extended for a period longer than three months, and a vessel to which such extension is granted shall not, on its arrival in the port in which it is to be surveyed, be entitled by virtue of such extension to leave that port without having a new Certificate. When the renewal survey is completed, the new Certificate shall be valid to a date not exceeding five years from the date of expiry of the existing Certificate before the extension was granted.
- (7) A Certificate issued to a vessel engaged on short voyages which has not been extended under the foregoing provisions of this Rules may be extended by the Director General or recognized organization, for a period of grace of up to one month from the date of expiry. When the renewal survey is completed, the new Certificate shall be valid to a date not exceeding five years from the date of expiry of the existing Certificate before the extension was granted.
- (8) In special circumstances, as determined by the Director General or the Recognised organization, a new Certificate need not be dated from the date of expiry of the existing Certificate as required by sub paragraph(2)(b) (5) or (6) of this paragraph. In these special circumstances, the new Certificate shall be valid to a date not exceeding five years from the date of completion of the renewal survey.
- (9) If an annual survey is completed before the period specified in paragraph 17 of this Schedule , then:

- (a) The Anniversary date shown on the Certificate shall be amended by endorsement to a date which shall not be more than three months later than the date on which the survey was completed;
 - (b) The subsequent annual or intermediate survey required by paragraph 17 of this Schedule shall be completed at the intervals prescribed by that paragraph using the new Anniversary date;
 - (c) the expiry date may remain unchanged provided one or more annual surveys, as appropriate, are carried out so that the maximum intervals between the surveys prescribed by paragraph 17 of this Schedule are not exceeded.
- (10) A Certificate issued under paragraph 18 or 19 of this Schedule shall cease to be valid in any of the following cases:
- (a) Upon the transfer of the vessel to the flag of another State;
 - (b) If the relevant surveys are not completed within the periods specified under paragraph 17 (1) of this Schedule ; or
 - (c) If the Certificate is not endorsed in accordance with paragraph 17(1) of this Schedule
 - (d) In case of transfer of ship another state under clause (2) of sub paragraph (10), the Director General may, upon a request made by the administration concerned, transmit to such administration the copies of certificates issued under this Rules

SECOND SCHEDULE

[See rule 12]

Form A- INTERNATIONAL BALLAST WATER MANAGEMENT CERTIFICATE

Issued under the provisions of the International Convention for the Control and Management of Ships' Ballast Water and Sediments (hereinafter referred to as "the Convention") under the authority of the Government of India

by

(full designation of the competent person or organization authorized under the provisions of the Convention)

Particulars of ship

Name of ship

Distinctive number or letters

Port of registry

Gross Tonnage

IMO number"

Date of Construction

Ballast Water Capacity (in cubic metres)

Details of Ballast Water Management Method(s) Used

Method of Ballast Water Management used

Date installed (if applicable) (dd/mm/yyyy)

Name of manufacturer (if applicable)

The principal Ballast Water Management method(s) employed on this ship
is/are:

- in accordance with regulation D-1
- in accordance with regulation D-2
(describe)
- the ship is subject to regulation D-4

THIS IS TO CERTIFY:

1. That the ship has been surveyed in accordance with regulation E-1 of the **Annex** to the Convention: and
2. That the survey shows that Ballast Water Management on the ship complies with the Annex to the Convention.

This certificate is valid until subject to surveys in accordance with regulation E-1 of the Annex to the Convention.

Completion date of the survey on which this certificate is based: dd/ mm/ yyyy

Issued at

(Place of issue of certificate)

{Date of issue} *Signature of authorized official issuing the certificate)*

(Seal or stamp of the authority, as appropriate)

ENDORSEMENT FOR ANNUAL AND INTERMEDIATE SURVEY(S)

THIS IS TO CERTIFY that a survey required by regulation E-1 of the Annex to the Convention the ship was found to comply with the relevant provisions of the Convention:

Annual survey: Signed

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual* /Intermediate survey*: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual*/ Intermediate survey*: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual survey: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate.

**ANNUAL/INTERMEDIATE SURVEY IN
ACCORDANCE WITH REGULATION E-
5.8.3**

THIS IS TO CERTIFY that, at an annual/intermediate* survey in accordance with regulation E-5.8.3 of the Annex to the Convention, the ship was found to comply with the relevant provisions of the Convention:

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

**ENDORSEMENT TO EXTEND THE CERTIFICATE IF VALID FOR
LESS THAN 5 YEARS WHERE REGULATION E-5.3APPLIES**

The ship complies with the relevant provisions of the Convention, and this Certificate shall, in accordance with regulation E-5.3 of the Annex to the Convention, be accepted as valid until.....

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate

**ENDORSEMENT WHERE THE RENEWAL SURVEY HAS BEEN
COMPLETED AND REGULATION E-5.4APPLIES**

The ship complies with the relevant provisions of the Convention and this Certificate shall, in accordance with regulation E-5.4 of the Annex to the Convention, be accepted as valid until

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as

appropriate)

**ENDORSEMENT TO EXTEND THE VALIDITY OF THE CERTIFICATE UNTIL
REACHING THE PORT OF SURVEY OR FOR A PERIOD OF GRACE
WHERE REGULATION E-5.5 OR E-5.6 APPLIES**

This Certificate shall, in accordance with regulation E-5.5 or E-5.6* of the Annex to the Convention, be accepted as valid until.....

Signed

(Signature of authorized official)

Place.....

Date

(Seal or stamp of the authority, as appropriate)

**ENDORSEMENT FOR ADVANCEMENT OF ANNIVERSARY DATE
WHERE REGULATION E-5.8 APPLIES**

In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....

Signed.....

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....

Signed

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate

Form B- INDIAN BALLAST WATER MANAGEMENT CERTIFICATE

[See rule 11]

Issued under Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026 on Ships under the authority of the Government of India

by

(full designation of the competent person or organization authorized)

Particulars of ship

Name of ship

Distinctive number or letters

Port of registry

Gross Tonnage

IMO number

Date of Construction

Ballast Water Capacity (in cubic metres)

Details of Ballast Water Management Method(s) Used

Method of Ballast Water Management used

Date installed (if applicable)

Name of manufacturer (if applicable)

The principal Ballast Water Management method(s) employed on this ship

is/are:

- in accordance with paragraph 13 of First Schedule
- in accordance with paragraph 14 of First Schedule
(describe)

the ship is subject to paragraph 16 of First Schedule

THIS IS TO CERTIFY

THAT:

1. The ship has been surveyed in accordance with rule paragraph 17 of First Schedule of the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026; and
2. The survey shows that Ballast Water Management System on the ship complies with the applicable requirements of Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026

Completion date of the survey on which this certificate is based: dd/ mm/ yyyy

Issued at

(Place of issue of certificate)

{Date of issue}

Signature of authorized official issuing the certificate

(Seal or stamp of the authority, as appropriate)

ENDORSEMENT FOR ANNUAL AND INTERMEDIATE SURVEY(S)

THIS IS TO CERTIFY that a survey required by paragraph 17 of First Schedule to the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026, and ship was found to comply with the relevant provisions of the rules:

Annual survey: Signed

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual*/ Intermediate survey*: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual* /Intermediate survey*: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

Annual survey: Signed.....

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate.

**ANNUAL/INTERMEDIATE SURVEY IN
ACCORDANCE WITH PARAGRAPH 21(9)(C) OF
FIRST SCHEDULE**

THIS IS TO CERTIFY that, at an annual/intermediate* survey in accordance with paragraph 21(9)(C) of first schedule to the Merchant Shipping (Control and

Management of Ships' Ballast Water and Sediments) Rules, 2026, and the ship was found to comply with the relevant provisions of the rules:

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

**ENDORSEMENT TO EXTEND THE CERTIFICATE IF VALID FOR LESS
THAN 5 YEARS WHERE PARAGRAPH 21(3) OF FIRST SCHEDULE
APPLIES**

The ship complies with the relevant provisions of the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026, and this Certificate shall, in accordance with paragraph 21(3) of first schedule to the rules, be accepted as valid until.....

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate

**ENDORSEMENT WHERE THE RENEWAL SURVEY HAS BEEN
COMPLETED AND PARAGRAPH 21(4) OF FIRST
SCHEDULE APPLIES**

The ship complies with the relevant provisions of the Convention and this Certificate shall, in accordance with **PARAGRAPH 21(4) OF FIRST SCHEDULE** to the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026, be accepted as valid until

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as

appropriate) "Delete as appropriate

**ENDORSEMENT TO EXTEND THE VALIDITY OF THE CERTIFICATE UNTIL
REACHING THE PORT OF SURVEY OR FOR A PERIOD OF GRACE
WHERE PARAGRAPH 21(5) OR (6) OR (7) OF FIRST SCHEDULE APPLIES**

This Certificate shall, in accordance with paragraph 21(5) or (6) or (7) of first schedule applies to the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026, be accepted as valid until

Signed

(Signature of authorized official)

Place.....

Date

(Seal or stamp of the authority, as appropriate)

**ENDORSEMENT FOR ADVANCEMENT OF ANNIVERSARY DATE WHERE
REGULATION PARAGRAPH 21(9) OF FIRST SCHEDULE APPLIES**

In accordance with paragraph 21(9) of first schedule applies to the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026, and the new Anniversary date is

Signed.....

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

In accordance with paragraph 21(9) of first schedule applies to the Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Rules, 2026 and the new Anniversary date is

Signed

(Signature of duly authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

*Delete as appropriate

FORM C- BALLAST WATER RECORD BOOK

[see rule 17]

INTERNATIONAL CONVENTION FOR THE CONTROL AND MANAGEMENT OF SHIPS' BALLAST WATER AND SEDIMENTS

Name of Ship

IMO number

Gross
tonnage.....

Flag.....

..... Total Ballast Water capacity (in cubic metres)

Number of International Ballast Water Management Certificate.....

Period From: To:

The ship is provided with a Ballast Water Management plan

Diagram of ship indicating ballast tanks of the ship, corresponding to the Ballast Water Management Plan, including any multi-use tank, space or compartment designed to allow carriage of ballast water

(1).Introduction

In accordance with regulation B-2 of the Annex to the Convention or paragraph 6 of the First schedule to this Rules, as the case may be, a record is to be kept of each Ballast Water operation. This includes discharges at sea and to reception facilities.

(2).Ballast Water and Ballast Water Management

"Ballast Water" means water with its suspended matter taken onboard a ship to control trim, list, draught, stability, or stresses of a ship. Management of Ballast Water shall be in accordance with an approved Ballast Water Management plan and taking in to account Guidelines for the control and management of ships 'ballast water to minimize the transfer of harmful aquatic organisms and pathogens adopted by the Organization by resolution A.868(20). developed by the Organization.

The volume of ballast water on board should be estimated in cubic metres. It is recognized that the accuracy of estimating volumes of ballast is left to interpretation.

(3).Entries in the Ballast Water Record Book

Entries in the Ballast Water record book shall be made on each of the following occasions:

(a) When the Ballast water is taken on board from the aquatic environment (ballasting operation)

- (i) Date, time and location of port or facility of uptake (port or latitude/longitude), depth if outside port
- (ii) Completion time and location (port of uptake or latitude/ longitude and minimum depth of water during uptake)
- (iii) The identity of the tanks affected
- (iv) Estimated volume of uptake and final total quantity retained in cubic metres
- (v) whether conducted in accordance with the approved Ballast Water Management Plan
- (vi) Ballast water treatment method

(b) When ballast water is discharged into the aquatic environment (deballasting operation)

- (i) Start time and location (port of discharge or latitude/ longitude)
- (ii) Completion time and location (port of discharge or latitude/ longitude and minimum depth of water during discharge)
- (iii) The identity of tanks affected
- (iv) Estimated volume of discharge and final total quantity retained in cubic metres
- (v) Whether conducted in accordance with the approved Ballast Water Management Plan
- (vi) Ballast Water treatment method

(c) Whenever ballast water is exchanged, treated through internal circulation or treated in tank

(I) Ballast Water Exchange

- (i) Start time and location (latitude/ longitude)
- (ii) Completion time and location (latitude/longitude)
- (iii) minimum distance from the nearest land and minimum depth of water during the exchange or, if applicable, identify the designated exchange area in accordance with regulation B-4.2
- (iv) Whether conducted in accordance with the Ballast water management plan and state the ballast water exchange method (sequential or flow -through or dilution) used
- (v) the identity of the tanks affected
- (vi) total quantity exchanged and final total quantity on board in cubic metres
- treatment method for the incoming ballast water
- (vii) treatment method for the incoming ballast water

(II) Ballast water internal circulation for treatment or in-tank treatment

- (i) Start time
- (ii) Completion time
- (iii) The identity of the tanks affected (identifying source and destination tanks if applicable)
- (iv) Total quantity treated (through circulation or in tank) in cubic metres
- (v) Ballast water treatment method

(d) Uptake or discharge of ballast water from/to a port-based or reception facility

- (i) Start time and location of uptake/discharge (state facility name)
Completion time
- (ii) Operation carried out (whether uptake or discharge)
- (iii) The identity of the tanks affected
- (iv) Total quantity in cubic metres and final quantity retained on board
- (v) Whether conducted in accordance with the approved Ballast Management Plan
- (vi) Onboard ballast water treatment method

(e) Accidental discharge/ingress or other exceptional uptake or discharge of ballast water

- (i) Start time and location of ingress/uptake/discharge (port name or latitude/longitude)
- (ii) completion time
- (iii) operation carried out (whether ingress, uptake or discharge)
- (iv) the identity of the tanks affected
- (v) Total quantity of ballast water in cubic metre
- (vi) State the circumstances of ingress, uptake, discharge or loss, the reason thereof, any treatment method used and general remarks

(f) Failures and inoperabilities (Failures and inoperabilities include malfunctions, shutdowns or critical alarms indicating a failure of the ballast water management system which may indicate non-compliance with the D-2 standard of the Convention or paragraph 14 of the First Schedule to these rules, as the case may be, (except routine information and warnings) of the ballast water management system)

- (i) time and location (port name or latitude/longitude) of failure of ballast water management system
- (ii) Operation carried out (state whether uptake or discharge)
- (iii) Description of the issue (eg. Kind of alarm or other description of circumstances)
- (iv) time and location (port name or latitude/longitude) when the ballast water

management system has been made operational

(g) Ballast tank cleaning/ flushing, removal and disposal of sediments

- (i) Time and ship's location on commencement of ballast tank cleaning/ flushing, removal or disposal of sediments (port name or latitude/longitude)
- (ii) time and ship's location on completion of ballast tank cleaning. Flushing, removal or disposal of sediments (port name or latitude/longitude)
- (iii) Tank(s) identification (name of the ballast tanks as per the Ballast Water Management Plan)
- (iv) Discharge or disposal to a reception facility (state quantity in cubic metres and name of the facility)
- (v) Disposal or discharge to the aquatic environment as per Ballast Water Management Plan (state quantity in cubic metres, minimum distance from the nearest land in nm and minimum depth of the waters in metres)

(h) Additional operational procedures and general remarks

Sample Ballast Water Record Book Page

Name of ship.....

IMO Number, distinctive numbers or letters.....

Date	Code (letter)	Item (number)	Record of operations/ signature of officer in charge

Signature of the master.....

THIRD SCHEDULE

[See rule 18]

Fees

SR. NO.	ITEMS	CATEGORY	FEES
1.	Survey to verify compliance with the provisions of Merchant Shipping (Ballast water Management), Rules 2026.	<p>a) <u>Initial Survey</u></p> <p>(i) Vessel's Between 400 to 1000 GT</p> <p>(ii) Vessel's above 1000 GT</p> <p>b) <u>Renewal Survey</u></p> <p>(i) Vessel's Between 400 to 1000 GT</p> <p>(ii) Vessel's above 1000 GT</p> <p>b) <u>Additional Survey</u></p> <p>(i) Vessel's Between 400 to 1000 GT</p> <p>(ii) Vessel's above 1000 GT</p> <p>c) Periodical Survey (Annual Survey/ Intermediate Survey)</p>	<p>Rs.10,000/-</p> <p>Rs.10,000/- Plus Rs.1,000/- for every additional 500 GT or part thereof subject to maximum of Rs.40,000/-</p> <p>Rs.8,000/-</p> <p>Rs.8,000/- plus Rs.5,00/- for every additional 500 GT or Part thereof subject to maximum of Rs.35,000/-</p> <p>Rs.8,000/-</p> <p>Rs.8,000/- plus Rs.5,00/- for every additional 500 GT or Part thereof subject to maximum of Rs.35,000/-</p>

SR. NO.	ITEMS	CATEGORY	FEES
			75% of renewal survey fees subject to a min of Rs.6,500/-
2	Issuance of certificate		Rs.3,000/-
3	Permissions in respect of extension of surveys/ exemptions/ dispensation etc.		Rs.1,500/- per Case
4	Approval of plans related to Ballast water management system		Rs.8000/-